



U.S. Department of the Interior
"To-Be" Trust Business Model
Process Template

Title: Disburse Funds

Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)

Process Number
FO.3.4

1. Process Definition *Provide an overview of the process and define its starting and ending points*

1.1 Starts With	A scheduled disbursement or ad-hoc request
1.2 Process Overview	The trust accounting system automatically checks the beneficiary accounts to determine if the account balance can meet the disbursement request. If the criteria are met, the automatic disbursement process is run. Checks or electronic payments are sent to payees or payees' financial institutions with an Explanation of Payment (EOP).
1.3 Stops With	Payment to a payee.

2. Trust Business Objectives *Identify the Comprehensive Trust Model strategic goals and business objectives to which this process contributes.*

Goal/Objective
To disburse funds in a timely, accurate, effective and efficient manner.

3. How should Beneficiaries be involved in this process?

None

4. Organizations, Offices and Roles. *Identify the DOI organizations and related roles that should be involved in performing the process.*

4.1 DOI Organizations. *Identify the DOI organizations, offices and individual roles that contribute to this process.*

DOI organizations include the Office of the Secretary, BIA, OST, BLM, MMS, OHA, OSM among others.

Offices include Central Offices, Regional Offices, Agency(Field) Offices, etc.

All individual roles that contribute, in a significant manner, should be identified.

Organization	Office	Role	Contribution
OST	Trust Services, OTFM		Provide Treasury with information to generate electronic disbursements Send checks or electronic payments to payees
OST	CIO Office		Prints checks



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4.2 Non-DOI Organizations. Identify the non-DOI organizations that support the execution or control of this process.

External Organization	Contribution
Payees	Receive disbursed funds
Treasury	Reconcile transactions and fund balances

5. Event(s) Identify the events or conditions that start the process. Describe each event and indicate the frequency (daily, monthly, quarterly, etc.) in which each event is expected to occur. An event may be an external interaction (a beneficiary submits an application), the expiration of a period of time (a lease is due to expire in 90 days), or the realization of some pre-defined threshold (an IIM account reaches the automatic disbursement threshold).

Event	Description	Estimated Frequency
Receive a request for an ad-hoc disbursement	A request to disburse funds	Daily
An account reaches the automatic threshold	A threshold at which funds are disbursed	Daily
Disbursement date is reached	A specific date on which funds are to be distributed	Daily
A successful bidder is selected	Successful bid funds are applied to first payment	Daily

6. Inputs and Outputs. Identify and describe all inputs and outputs related to this process. Inputs are information or materials used during the execution of the process; outputs are materials or information produced by the process.

6.1 Inputs

Input	Description
Account balances	Sufficient funds to distribute funds
Funds payable	Files created by program office or beneficiary servicing office required to disburse funds



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6.2 Outputs

Output	Description
Payee checks	Disbursement to payees
EFT	Electronic disbursement to payees
Check register	Information details of checks issued
Explanation of Payment (EOP)	Explains royalty revenue disbursements

7. Fiduciary and Legal Obligations and Controls

7.1 Obligations

Identify and describe the legal and fiduciary obligations that impact this process. For each obligation, indicate the document or commitment that defines the obligation and the citation (paragraph or section) within the document that pertains to this process.

Obligation	Source	Business Impact
Regulations governing beneficiary accounts	25 CFR 115	Guidelines for management of trust funds for beneficiaries
Leasing on trust assets relate to bonuses, damages and fees	25 CFR 211.24	Collection and disbursement for beneficiary accounts
Rights of Way: compensation for granting of easements and deposits for survey damages	25 CFR 169.14	Collection and disbursement for beneficiary accounts
Treasury regulations	Intra-governmental accounting guidance	Disbursing authority Safeguarding and disposal of checks

7.2 Controls

Identify and describe any controls (enforcement mechanisms) that may be used to ensure that the process adheres to obligations and internal process requirements. Controls may be reviews, audits, segregated duties, etc. Indicate the reason that each control should be introduced (name the obligation that a control is intended to enforce; indicate any controls required to ensure consistency or reliability).

Control	Reason	Description
GAAP	External	Generally Accepted Accounting Principles



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Control	Reason	Description
Office of Controller of the Currency Standards	External	Trust standards
Internal Control	Internal	Peer review, sampling, management control review, QA
Audits	External	Ensure adherence to policies and procedures
Service levels	Internal	Ensure tasks have been performed within allowable limits
Risk assessment	Internal	Measurement of quality assurance
Federal Financial Accounting Standards	External control	Issue by Federal Accounting Standards Advisory Board

8. Mechanisms (Systems of Record) Identify the mechanisms, or systems, that are needed to support the process (ex: Ownership, Leasing, Workflow Management, Office Filing System, etc.). Indicate the information and activities, relevant to this process, that each system supports.

System Name	Support
Funds payable system	Contains information about payees
Trust accounting system	Contains information and balances for trust accounts

9. Inter-Process Relationships Identify other trust processes that are related to this process (either predecessors or successors). If applicable, indicate the condition under which the processes are related.

9.1 Predecessors. Predecessors are processes that either produce information required by this process or that result in the need to execute this process.

Process No.	Name	Condition of Relationship
FO.3.2	Create Pre-Disbursement File	
FO.3.3	Reconcile Pre-Disbursement Exceptions	



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9.2 Successors. Successors are processes that either use information produced by this process or that must be executed as a result of performing this process.

Process No.	Name	Condition of Relationship
FO.3.7	Generate Report	

10. Comments Summarize any discussion, problems, issues or recommendations that should be considered when reviewing process performance. Category Values (Note, Best Practice, Decision, Problem, Issue, Recommendation)

Category	Comment
Issue	What is the document retention policy for paper & electronic records?
Recommendation	Beneficiary payments should be electronic transfer in the future